



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/889380	NAKAMURA	M 450106-02849
INTERNATIONAL APPLICATION NO.		
PCT/JP00/08112		
I.A. FILING DATE	PRIORITY DATE	
17 NOV 00	17 NOV 99	
DATE MAILED: 28 AUG 2001		

WILLIAM S FROMMER
FROMMER LAWRENCE & HAUG
745 FIFTH A VENE
NEW YORK, NY 10151

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☒ a Designated Office (37 CFR 1.494) ☐ an Elected Office (37 CFR 1.495):
- | | |
|---|--|
| <input checked="" type="checkbox"/> U.S. Basic National Fee. | <input type="checkbox"/> Indication of Small Entity Status. |
| <input checked="" type="checkbox"/> Copy of the international application. | <input checked="" type="checkbox"/> Translation of the international application into English. |
| <input type="checkbox"/> Oath or Declaration of inventor(s). | <input type="checkbox"/> Translation of Article 19 amendments into English. |
| <input type="checkbox"/> Copy of Article 19 amendments. | <input type="checkbox"/> Other: |
| <input checked="" type="checkbox"/> Priority Document. | |
| <input type="checkbox"/> The International Preliminary Examination Report in English and its Annexes, if any. | |
| <input type="checkbox"/> Translation of Annexes to the International Preliminary Examination Report into English. | |
2. ☐ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.
- | | |
|---|---|
| <input type="checkbox"/> U.S. Basic National Fee. | <input type="checkbox"/> Copy of the international application. |
|---|---|
3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:
- ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☒ b. The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- ☒ c. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- ☒ d. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- ☒ e. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).
4. Additional claim fees of \$ _____ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.
5. ☐ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

ALL OF THE ITEMS SET FORTH IN 3(a)-(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice MUST be returned with this response.

Enclosed: ☐ PCT/DO/EO/917 ☒ Notice of Defective Translation
☐ PTO-875 ☐ PCT/DO/EO/920
Pautette Kidwell, Paralegal
Telephone: 703-305-3656

FORM PCT/DO/EO/905 (March 2001)

DOCKETED

2001 AUG 31 A 10:47
FROMMER, LAWRENCE
& HAUG, LLP



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: ASSISTANT COMMISSIONER FOR PATENTS
Box PCT
Washington, D.C. 20231

U.S. APPLICATION NO.

09/889380

ATTACHMENT TO FORM PCT/DO/EO

NOTICE OF DEFECTIVE TRANSLATION

The received translation is defective because:

- ☐ (1) The text in the drawings has not been properly translated;
- ☒ (2) The number of claims in the International Application and the number of claims in the translation are not the same;
- ☐ (3) The translation of the International Application is incomplete as a number of pages are missing;
- ☒ (4) Other.

THE TOTAL NUMBER OF CLAIMS IN THE TRANSLATION IS 12 AND THE TOTAL NUMBER OF CLAIMS IN THE INTERNATIONAL APPLICATION IS 24

DOCKETED

Paulette Kidwell, Paralegal

Telephone: 703-305-3656

FORM PCT/DO/EO/913 (September 1996)

Express Mail label No. 161, 2001 E L 817166371 US

Serial No. _____ File No. 150106-02849 By Losc/dds
Title In the Matter of the Application of Digital Signal Processing Apparatus
The following due 7/17/01 in the U.S. Patent Office, was received in the Patent Office
☐ Affidavit ☐ Declaration ☒ Express Mail Mailing Certificate
☐ Amendment ☒ (separate sheet)
☐ Preliminary Amendment ☒ Check No. 16605 for \$ 932⁰⁰
☐ Amendment After Final Rejection ☐ Deposit Account Order Form
☐ Request for Extension of Time ☒ Drawing 14 Sheet(s)
☐ Provisional Patent Application ☒ Information Disclosure Statement
☒ Application for Patent, including ☒ PTO Form 1449, and REFS
31 Pages Specification 24 Claims ☐ Issue Fee Transmittal
☒ Declaration ☐ Oath ☒ Power ☐ Brief ☐ Letter
☐ Request for Filing Continuation or Divisional ☐ Application for TM Registration
Application _____ sheets, in duplicate Including _____ Specimens
☐ File Wrapper Continuation Patent Application ☐ Status Request ☐ Notice of Appeal
_____ sheets, in duplicate ☐ Petition ☐ Response
☐ PCT Request _____ sheets, including ☐ Priority Document
☒ Transmittal Letter to the US/RO ☐ Small Entity Declaration
☒ Assignment ☒ Recordation Cover Sheet ☒ PCT/RO/101, PCT/ISA/210

Check No. 16604 for \$40

Mailed July 16, 2001
Express Mail label No. 161, 2001 E L 819166397 US
Serial No. _____ File No. 450106-02849 By Losc/dds
Title In the Matter of the Application of Digital Signal Processing Apparatus
The following due 7/17/01 in the U.S. Patent Office, was received in the Patent Office
☐ Affidavit ☐ Declaration ☒ Express Mail Mailing Certificate
☐ Amendment ☒ (separate sheet)
☐ Preliminary Amendment ☒ Check No. 16605 for \$ 932⁰⁰
☐ Amendment After Final Rejection ☐ Deposit Account Order Form
☐ Request for Extension of Time ☒ Drawing 14 Sheet(s)
☐ Provisional Patent Application ☒ Information Disclosure Statement
☒ Application for Patent, including ☒ PTO Form 1449, and REFS
31 Pages Specification 24 Claims ☐ Issue Fee Transmittal
☒ Declaration ☐ Oath ☒ Power ☐ Brief ☐ Letter
☐ Request for Filing Continuation or Divisional ☐ Application for TM Registration
Application _____ sheets, in duplicate Including _____ Specimens
☐ File Wrapper Continuation Patent Application ☐ Status Request ☐ Notice of Appeal
_____ sheets, in duplicate ☐ Petition ☐ Response
☐ PCT Request _____ sheets, including ☐ Priority Document
☒ Transmittal Letter to the US/RO ☐ Small Entity Declaration
☒ Assignment ☒ Recordation Cover Sheet ☒ PCT/RO/101, PCT/ISA/210
Check No. 16604 for \$40
16 JUL 2001



POST OFFICE TO ADDRESSEE



EL 819166397 US

ORIGIN (POSTAL USE ONLY)				DELIVERY (POSTAL USE ONLY)			
PO ZIP Code	Day of Delivery <input type="checkbox"/> Next <input type="checkbox"/> Second	Flat Rate Envelope <input type="checkbox"/>		Delivery Attempt	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature	
Date In Mo. Day Year	<input type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM	Postage \$		Delivery Attempt	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature	
Time In <input type="checkbox"/> AM <input type="checkbox"/> PM	Military <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day	Return Receipt Fee		Delivery Date	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature	
Weight lbs. ozs.	Int'l Alpha Country Code	COD Fee	Insurance Fee	<input type="checkbox"/> WAIVER OF SIGNATURE (Domestic Only): Additional merchandise insurance is void if waiver of signature is requested. I wish delivery to be made without obtaining signature of addressee or addressee's agent (if delivery employee judges that article can be left in secure location) and I authorize that delivery employee's signature constitutes valid proof of delivery.			
No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	Acceptance Clerk Initials	Total Postage & Fees \$		NO DELIVERY <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday Customer Signature			

CUSTOMER USE ONLY		FEDERAL AGENCY ACCT. NO. OR POSTAL SERVICE ACCT. NO.	
METHOD OF PAYMENT: Express Mail Corporate Acct. No.			
FROM: (PLEASE PRINT) 212 588 0800 William S. Frommer, Esq. FROMMER LAWRENCE & HAUG LLP 745 5TH AVE FL 10 NEW YORK NY 10151-1000 wsf1dds 450106-02849		TO: (PLEASE PRINT) Assistant Commissioner for Patents Box PCT Washington, D.C. 20231	

Mailing Label
Label 11-F August 2000

F02
T

7221



POST OFFICE TO ADDRESSEE



EL 819166397 US

ORIGIN (POSTAL USE ONLY)				DELIVERY (POSTAL USE ONLY)			
PO ZIP Code 10022	Day of Delivery <input type="checkbox"/> Next <input checked="" type="checkbox"/> Second	Flat Rate Envelope <input type="checkbox"/>		Delivery Attempt	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature	
Date In Mo. Day Year 7 16 01	<input checked="" type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM	Postage \$ 16.25		Delivery Attempt	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature	
Time In 2 13 6	Military <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day	Return Receipt Fee		Delivery Date	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature	
Weight lbs. 13 ozs.	Int'l Alpha Country Code	COD Fee	Insurance Fee	<input type="checkbox"/> WAIVER OF SIGNATURE (Domestic Only): Additional merchandise insurance is void if waiver of signature is requested. I wish delivery to be made without obtaining signature of addressee or addressee's agent (if delivery employee judges that article can be left in secure location) and I authorize that delivery employee's signature constitutes valid proof of delivery.			
No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	Acceptance Clerk Initials W	Total Postage & Fees \$ 16.25		NO DELIVERY <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday Customer Signature			

CUSTOMER USE ONLY		FEDERAL AGENCY ACCT. NO. OR POSTAL SERVICE ACCT. NO.	
METHOD OF PAYMENT: Express Mail Corporate Acct. No.			
FROM: (PLEASE PRINT) 212 588 0800 William S. Frommer, Esq. FROMMER LAWRENCE & HAUG LLP 745 5TH AVE FL 10 NEW YORK NY 10151-1000 wsf1dds 450106-02849		TO: (PLEASE PRINT) Assistant Commissioner for Patents Box PCT Washington, D.C. 20231	



Customer Copy
Label 11-F August 2000

F02
T

7221

FOR PICKUP OR TRACKING CALL 1-800-222-1811 www.usps.com



016604

FROMMER LAWRENCE & HAUG LLP

745 FIFTH AVENUE
NEW YORK, NY 10151

July 16 20 01

1-1-210 428

PAY TO THE
ORDER OF

COMMISSIONER OF PATENTS AND TRADEMARKS

\$ 40.00

THE SUM OF \$40.00

DOLLARS

THE BANK OF NEW YORK

575 MADISON AVENUE

NEW YORK, NY 10022

CHARGE ANY ADD'L FEES TO DEPOSIT ACCT. #50-0320

FROMMER LAWRENCE & HAUG LLP

⑈016604⑈ ⑆021000018⑆ ⑆6301147455⑈

FROMMER LAWRENCE & HAUG LLP

DETACH AND RETAIN THIS STATEMENT

THE ATTACHED CHECK IS IN PAYMENT OF ITEMS DESCRIBED BELOW.
IF NOT CORRECT PLEASE NOTIFY US PROMPTLY. NO RECEIPT DESIRED.

APPLICANT

NAK Amara, et al.

SERIAL NO.

FL & H DOCKET NO. 450106-02849

TITLE

Digital Signal Processing Apparatus and Method

- ☐ APPEAL BRIEF
☐ APPEAL FEE
☐ CERTIFICATE OF CORRECTION
☐ DISCLAIMER
☐ EXTENSION OF TIME
☐ FEE FOR ADDED CLAIMS
☐ FILING FEE
☐ ISSUE FEE
☐ MAINTENANCE FEE
☐ MISSING PARTS
☐ NOTICE OF OPPOSITION

- ☐ PETITION FEE
☐ PETITION FOR CANCELLATION
☐ PETITION TO REVIVE
☒ RECORDING FEE
☐ REQUEST FOR ORAL HEARING
☐ SEC. 8 TM DECLARATION FEE
☐ STATEMENT OF USE
☐ TM RENEWAL



PLEASE CHARGE ANY ADDITIONAL FEES OR CREDIT OVER PAYMENT TO DEPOSIT ACCOUNT NO. 50-0320

CHARGE TO

NAME OF CLIENT OR ACCOUNT

FILE NO.

ATTORNEY

AMOUNT

450106-
02849

WSF/dd's

40

00